

City of Williamsburg

Facility name: Public Works and
Utilities Department

Person resp	Prepared by	Reviewed by	Approved by
EMS 1/20/2004	EMS 1/20/2004	EMS 4/12/2008	DGC 4/12/2004

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Revision no.

4.5.32 Records

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Persons responsible:

Areas of application: Department of Public Works and Utilities Shop Complex

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1.0 PURPOSE

- 1.1 The purpose of this procedure is to establish practices related to the identification, maintenance and disposition of environmental records for the City of Williamsburg Department of Public Works and Utilities.

2.0 SCOPE

- 2.1 This procedure is responsive to Element 4.5.3, Records of the ISO 14001 1996 standard and covers operations of the Department of Public Works and Utilities.

3.0 RESPONSIBILITY

- 3.1 The responsibility for the identification and creation of records is defined by the elements of the EMS and is documented within each Procedure and Operational Control section of GreenWare.
- 3.2 The EMS Team:
 - 3.2.1 Is responsible for the maintenance and disposition of the environmental records.
 - 3.2.2 Is also responsible for the retrieval and purging of environmental records.

4.0 DEFINITIONS

- 4.1 Refer to 3.0 ISO 14001 1996 Related Definitions

5.0 PROCESS

- 5.1 This procedure considers activities, products and services pertinent to environmental management and addresses the identification, maintenance and disposition of records needed for the EMS which provide documented evidence that the Department of Public Works and Utilities is progressing toward achieving its objectives and targets.
- 5.2 Environmental records shall be legible, identifiable, and traceable to the activity, product or service involved. The date the information was obtained must be included.
- 5.3 Records will contain the necessary information to allow the EMS Team and management to make well informed decisions and determine the continuing progress toward achieving the objectives and targets.
 - 5.3.1 The EMS Team and management who rely on various environmental records to make EMS, personnel or business decisions will have easy access to the required records.
- 5.4 The Department of Public Works and Utilities will create environmental records for the following EMS elements:
 - 5.4.1 Environmental Aspects
 - 5.4.2 Objectives and Targets
 - 5.4.3 Environmental Management Programs (EMPs)

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- 5.4.4 Structure and Responsibility
- 5.4.5 Training, Awareness and Competence
- 5.5.6 Communication
- 5.5.7 Operational Control
- 5.5.8 Emergency Preparedness and Response
- 5.5.9 Monitoring and Measurement
- 5.5.10 Nonconformance and Corrective and Preventive Action
- 5.5.11 Records
- 5.5.12 EMS Audit
- 5.5.13 Management Review
- 5.5 Whenever possible activities and information generating environmental records will be captured within the worksheets found in GreenWare and then saved as records according to the instructions in 4.5.31, Records Help. Where worksheets do not exist, standard forms will be created. For example, communication logs will be used as a means to ensure that adequate communication records of verbal conversations between the Department of Public Works and Utilities and the interested parties are captured and retained.
- 5.6 Hard Copies - a record will only be stored in hard copy if:
 - 5.6.1 access to the record can not be achieved electronically;
 - 5.6.2 the record was originally generated in hard copy and it is not feasible to generate an electronic copy;
 - 5.6.3 a legal or other requirement requires a hard copy of the record be retained;
 - 5.6.4 an extra backup copy is deemed necessary because the Department of Public Works and Utilities is conforming to its legal and other requirements;
 - 5.6.5 the Department of Public Works and Utilities management determines that monitoring a hard copy facilitates access.
- 5.7 Hard copy environmental records will be stored and / or maintained with in the EMS Team files (file cabinet in Maintenance Department) in order to protect the records from deterioration or loss and to organize them in such a manner that they are easily retrievable.
- 5.8 Electronic Copies - records are to be stored, whenever practical, in an electronic form which will be accessible and organized within the Department of Public Works and Utilities' GreenWare software.
- 5.9 An electronic file folder, representing each element of the EMS is located within the document manager of GreenWare. When a record is created of an electronic document, the original document is to be copied and pasted in the corresponding file folder. Once the record copy is pasted into the appropriate folder, the record will be recorded in the Record Registry.

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- 5.10 In GreenWare when recording an electronic record in the Record Registry, a link to the record will be created, with links being sorted by elements of the EMS. Adjacent to the record link, the date the record was created, the date it is to be purged and who is responsible for purging the record is recorded. GreenWare automatically time stamps the date the record was created.
- 5.11 Electronic records in GreenWare can be assessed and reviewed from the Record Registry. However, records will not be modified once they are recorded on the registry. GreenWare safeguards against the modification or alteration of records by locking them in read only mode once recorded on the Record Registry.
- 5.12 Electronic records in GreenWare are not to be deleted prior to the records expiration date. GreenWare safeguards against deleting records prior to their assigned expiration date.
- 5.13 When an expiration date passes, the EMS Team will purge the electronic record from GreenWare within a time frame defined by the Department of Public Works and Utilities management on a case-by-case basis. At a minimum all records will be maintained at least 3 years.
- 5.14 If an electronic record in GreenWare is deemed inaccurate or misleading because of an error in the documented information or data, a new record will be created. The old record will not be deleted. A footnote or comment will be added to the newly created record stating the reason for its creation and an explanation describing the error.
- 5.15 Electronic records will be backed up using the file transfer system within GreenWare. Back ups must be saved onto a different computer or server from where the original record is saved. Records will be backed up to computers or servers that are periodically backed up by the City of Williamsburg's IT Department. The City of Williamsburg's, IT Department stores back up tapes in a secure environment, safe from theft, fire, or other threats. Alternatively, records may be backed up onto a CD ROM with the CD ROM being stored in a secure environment safe from theft, fire, or other threats.
- 5.16 Confidential records will be stored, maintained and dispositioned / purged in a manner that is consistent with the Department of Public Works and Utilities' existing confidentiality policies and guidelines.
- 5.17 Requests by external parties to review records will be handled on a case-by-case basis, with the EMS Team and management responding to each request.
- 5.18 The legal counsel for the City of Williamsburg will provide guidance / direction to the EMS Team for appropriate retention times of environmental records generated at the Department of Public Works and Utilities.
- 5.19 The Department of Public Works and Utilities will use its existing internal audit and nonconformance process to ensure this Record Procedure is adhered to.

6.0 REFERENCES/RELATED DOCUMENTS

- 6.1 Environmental Aspects
Ref. no.: 4.3.11 Ref. name: Evaluate environmental aspects and impacts
Ref. no.: 4.3.12 Ref. name: Environmental aspect procedure manager

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- 6.2 Objectives and Targets
Ref. no.: 4.3.31 Ref. name: Set objectives and targets
Ref. no.: 4.3.32 Ref. name: Objective procedure manager
 - 6.3 Environmental Management Programs (EMPs)
Ref. no.: 4.3.41 Ref. name: Develop environmental management program(s)
Ref. no.: 4.3.42 Ref. name: Environmental management procedure manager
 - 6.4 Structure and Responsibility
Ref. no.: 4.4.11 Ref. name: Determine structure and responsibility
Ref. no.: 4.4.12 Ref. name: Structure and responsibility procedure manager
 - 6.5 Training, Awareness and Competence
Ref. no.: 4.4.21 Ref. name: Develop training schedules
Ref. no.: 4.4.22 Ref. name: Training procedure manager
 - 6.6 Communication
Ref. no.: 4.4.31 Ref. name: Develop communication and reporting strategy
Ref. no.: 4.4.33 Ref. name: Communication procedure manager
 - 6.7 Operational Control
Ref. no.: 4.4.61 Ref. name: Operational Control Procedure
Ref. no.: 4.4.62 Ref. name: Operational Control Procedure Manager
 - 6.8 Emergency Preparedness and Response
Ref. no.: 4.4.71 Ref. name: Develop emergency response procedures
Ref. no.: 4.4.72 Ref. name: Emergency procedure manager
 - 6.9 Monitoring and Measurement
Ref. no.: 4.5.11 Ref. name: Monitor performance
Ref. no.: 4.5.12 Ref. name: Monitor performance procedure manager
 - 6.10 Nonconformance and Corrective and Preventive Action
Ref. no.: 4.5.21 Ref. name: Identify nonconformance, corrective and preventative action
Ref. no.: 4.5.22 Ref. name: Nonconformance procedure manager
 - 6.11 Records
Ref. no.: 4.5.32 Ref. name: Records procedure manager
 - 6.12 EMS Audit
Ref. no.: 4.5.41 Ref. name: Develop EMS audit programme(s)
Ref. no.: 4.5.42 Ref. name: EMS audit procedure manager
 - 6.13 Management Review
Ref. no.: 4.6.11 Ref. name: Review EMS
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